

**Exhibit 14-A Local Agency Submittal Requirements  
for Federal Participation in Utility Relocations****LOCAL AGENCY SUBMITTAL REQUIREMENTS FOR FEDERAL PARTICIPATION IN  
UTILITY RELOCATIONS**

To obtain federal participation for a specific utility relocation, a request for "Specific Authorization" must be submitted to Caltrans. The request must contain the following:

1. ☐ A color coded plan prepared on highway layout sheets, clearly, and accurately showing the following:
  - ☐ Existing and proposed right of way lines
  - ☐ Existing and proposed access control lines (if applicable)
  - ☐ Existing and proposed highway centerline
  - ☐ For the existing and for the proposed utility facility, show their:
    - ☐ Location
    - ☐ Type
    - ☐ Size
    - ☐ Length
    - ☐ Clearly plot and label the type of property rights the owner is claiming as a prior right (if applicable)
    - ☐ Clearly plot and label the type of proposed property rights to be supplied by the state (if applicable)
    - ☐ Show geometric features if the relocation is related to them
    - ☐ Provide a color coded legend and title block on the plan
2. ☐ One copy of a detailed itemized estimate of cost showing, as a minimum the following:
  - ☐ Estimated cost of labor
  - ☐ Estimated cost of materials (list the major items of materials)
  - ☐ Estimated cost of transportation and equipment
  - ☐ Estimated cost of overhead (include a list of major components)
  - ☐ Estimated cost of any new right of way required

- ☐ Estimated credit for salvage and depreciation
- ☐ Estimated credit for betterment

The estimate submitted with the request for Specific Authorization must contain an entry for each of the items listed above. If a particular item is not applicable, a zero amount shall be shown.

Unit costs such as broad gauge units of property may be used for estimate purposes where the utility owner uses such units in its own operation. These costs normally include overhead, labor, transportation, equipment, and materials. Right of way costs and estimated credits must be given separately. If this type of estimate is used, it must be identified as a "broad gauge" estimate.

If it is not possible to obtain an adequate estimate from the owner, the local agency may prepare an estimate based on the owner's plan using current cost data from similar utility relocation work. Justification for use of an estimate prepared by the local agency must be submitted with the request.

If the estimate is to be used for a lump sum Utility Agreement, federal regulations require that it must be accurate, comprehensive, verifiable, and in sufficient detail to give a clear picture of the work involved and the cost of the individual items. The estimate should be broken down by:

- ☐ Direct labor by class, rate, and time
- ☐ Labor surcharges
- ☐ Overhead and indirect construction charges
- ☐ Materials and supplies, by item, quantity, and price
- ☐ Handling charges
- ☐ Transportation
- ☐ Equipment by size, type, rate, and time
- ☐ Preliminary engineering
- ☐ Construction engineering
- ☐ Salvage and depreciation credits
- ☐ Betterment credit
- ☐ Other items as required by 23 CFR 645

Utility owners should be advised that lump sum agreements cannot be entered into on federal-aid projects, unless the owners are prepared to supply the required detailed itemized estimate in the planning stage. Please contact the Caltrans District Utility Coordinator (via the District Local Assistance Engineer [DLAE]) for information on additional requirements and/or restrictions.

3. ☐ Copies of the proposed Utility Agreement and Notice to Owner
4. ☐ Documentation supporting owner's claim of prior rights
5. ☐ A letter of transmittal in triplicate requesting Specific Authorization containing:

The file data including county, route, notice number, Utility Agreement number (if different), federal project number, and name of the utility owner. If both right of way and construction funds are involved, the right of way and construction federal project numbers must be shown (the Utility Agreement must also contain both numbers). If all of the work is to be performed by the highway contractor, only the construction federal project number need be shown.

Location of the work by geographical limits.

General description of what is to be done including a list of the major facilities involved.

A statement describing who will perform the work. In order to comply with federal requirements, the transmittal must contain one or more of the following statements as applicable:

**THE WORK WILL BE PERFORMED BY:**

- **The utility owner's forces:** The local agency has determined this is cost-effective and has verified the owner is qualified to perform the work in a satisfactory manner with its own personnel and equipment.
- **The utility owner's continuing contractor:** The local agency has determined this is cost-effective and verified the contract between the owner and the contractor is in writing and that similar work is regularly performed for the owner under the contract at reasonable costs.
- **Competitive bid contract:** The owner is not adequately staffed or equipped to perform the work with its own forces. The local agency will verify that the utility owner will award the contract for the work to the lowest, qualified, responsible bidder based on an appropriate solicitation.
- **The Local Agency's highway contractor:** The utility work is to be included in the local agency's highway construction contract. The local agency has determined this is the most cost-effective method.

The local agency is responsible for making the determination and documenting within a statement, the following:

- ☐ The dates between which it is anticipated the work will be performed.
- ☐ A determination as to whether the local agency's payment standards or 23 CFR 645 payment standards are more restrictive and the reasons supporting said determination.
- ☐ An explanation of any significant difference between the existing facility and the proposed rearrangement as shown on the plans and the itemized estimate of cost. For example, if an increase in size or capacity is shown on the plans and betterment credits are not reflected in the itemized estimate, an explanation and justification must be included.
- ☐ If prior rights of the owner are involved and a Joint Use Agreement or Consent to Common Use Agreement is required, include the following statement: "Joint Use Agreement(s) or Consent to Common Use Agreement(s) will be executed by both parties, and an original copy will be retained by the local agency."

- ☐ If the utility will occupy any portion of the new highway right of way and does not have prior rights in the old location, include a statement that the relocation plan does not contain encroachments contrary to the policy of the authority having jurisdiction over the right of way and that the appropriate standard encroachment permit will be issued.

For local agency use, please refer to the Caltrans-approved "Report of Investigation," Form RW 13-3 in the Caltrans *ROW Manual*.

**Distribution:** 1) Local agency submits to DLAE